

ORGANIZATIONAL WORK INSTRUCTION

HS01

Office of Human Capital Records Management Plan

Approving
Authority

<u>NAME</u>	<u>TITLE</u>	<u>ORG</u>	<u>DATE</u>
_____ Tereasa H. Washington	Director Office of Human Capital	HS01	1/27/09/

Organizational Work Instruction HS01		
Title : Office of Human Capital Records Management Plan	HS01-OWI-003	Revision:
	Date: September 28, 2006	Page 3 of 11

DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Docu ment Revision	Effective Date	Description
Baseline		6/27/00	
Revision	A	08/15/01	Deleted reference to NHB 1442.1 NASA Uniform Files Index. 5.1.Add – they shall include any applicable controls for collecting, indexing, assessing, filing, and storing (including contractor records) and for controlling damage, deterioration and loss of records. 5.1.5 Add – Identify in MSFC Marshall Management Directives and OI's the applicable records, retention schedules, disposition, and the organization (s) of record custodian(s) or a link (identification) to where this information is available. Appendix D is a minimum list of the types of quality records which must be identified to maintain ISO registration.
Revision	B	5/22/02	Add Appendix D General Revisions
Revision	C	9/18/02	7. Safety Precautions and Warnings change to none 8. Appendices, Data, reports change to none 10 Personnel Training and Certification change to none
Revision	D	9/21/04	Replaced “will” with “shall”. Replaced “Issuance” with “Work Instruction” on cover. Replaced “NPG” with “NPR”; “MPG” with “MPR”. 4.1.19: Inserted “NASA” and “Chapters”. 5.1.3 and 5.1.4: Changed “Directive” to “procedure”. Changed font to New Times Roman.
Revision	E	3/11/05	Revised the org codes, office names as a result of the

Organizational Work Instruction HS01		
Title : Office of Human Capital Records Management Plan	HS01-OWI-003	Revision:
	Date: September 28, 2006	Page 4 of 11

			Center Reorganization effective 12/12/04.
Revision	F	9/28/06	Reviewed OWI and revised effective dates. Added " <u>in the past</u> " to Quality Records definition. Removed "Quality" from 6. Notes.
		9/13/07	Document Review
	G	7/31/08	5.13 corrected to read "OHC Office Managers." Reference to "quality records" minor/editorial corrections.
Revision	H	01/27/09	5.1.2 changed office name to from Employee Services & Operations Office to Human Resources Services Office. 5.1.8 changed wording from "MSFC Records Manager" to "OHC Records Liaison Officer". Also included the term "appropriate" in this section. Changed Approving Authority date from 7/31/08 to 1/27/09. Changed effective date to 1/27/09. Changed Revision from G to H.

1. PURPOSE

This Organizational Work Instruction (OWI) provides the procedures for the Office of Human Capital (OHC) Records Management Control Process.

2. APPLICABILITY

This work instruction applies to all OHC Organizational Work Instructions under ISO9000.

3. APPLICABLE DOCUMENTS

MPD 1280.1 Marshall Management Manual
MPR 1410.2 Marshall Management Directives System
MPR 1440.2 MSFC Records Management Program
NPR 1441.1 NASA Records Retention Schedules

Organizational Work Instruction HS01		
Title : Office of Human Capital Records Management Plan	HS01-OWI-003	Revision:
	Date: September 28, 2006	Page 5 of 11

MPR 7120.3 Data Management, Programs/Projects
NPD 1440.6 NASA Records Management

4. DEFINITIONS

4.1 Current files area. The office space where records are created or space is utilized by a central files unit which maintains records for an individual, office, or group of offices.

4.2 Data Manager. The person appointed, as defined in MPR 7120.3, to support a Program/Project Manager in the development and implementation of a specific program/project's data.

4.3 DCC – Document Control Custodian

4.4 Electronic Record. Records that are stored in a form that only a computer can process (also called machine-readable).

4.5 Federal Records Center (FRC). A record storage facility operated by the National Archives and Records Administration (NARA) for housing and servicing non-current records of the Federal Government.

4.6 Files Equipment. File cabinets, open-shelf filing equipment card-file equipment, map and plan file equipment, and bookcase sections used for maintaining and servicing files.

4.7 Files Supplies. Folders, guides, fasteners, labels, forms and other related supplies used for maintaining and servicing files.

4.8 Historical Records. Records retained onsite beyond their required retention period and so identified. The ultimate disposition of historical records is at the discretion of the holding organization.

4.9 Marshall Space Flight Center (MSFC) Records Manager (MRM). The individual designated by the MSFC Director, as required by NPD 1440.6, who is responsible for overall administration of the MSFC records management program.

4.10 Nonrecord Materials. Materials such as library and museum material made or acquired and preserved solely for reference or exhibition purposes; extra copies of documents preserved only for convenience of reference, such as reading and suspense copies; materials of short-term value such as drafts, working papers, and routing and transmittal sheets on which no documented administrative action has been taken; and stocks of publications and processed documents.

Organizational Work Instruction HS01		
Title : Office of Human Capital Records Management Plan	HS01-OWI-003	Revision:
	Date: September 28, 2006	Page 6 of 11

4.11 Office of Primary Responsibility (OPR). The organization having the responsibility for the process/procedures for the delivery of the product or services to the customer. The OPR is responsible for identifying which records need to be generated and placed under control.

4.12 Official Files. Any collection of NASA records designated as a record-keeping location for transaction of official business.

4.13 Quality Records. A term sometimes used in the past for a subset of records to refer to specific documents cited in a procedure or work instruction which are maintained to demonstrate both MSFC conformance to specified requirements and the effective operation of the MSFC system.

4.14 Record Copy. Usually the original of a record or the first-generation of the original which is maintained by the OPR in lieu of the original.

4.15 Record Custodian. The individual who is responsible for collecting, indexing, accessing, filing, storing, maintaining, and dispositioning a record or collection of records.

4.16 Records. All documentary materials, regardless of physical forms or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them.

4.17 Records Liaison Officer (RLO). An individual designated by the Director/Manager of basic organizations (and, optionally, offices) to assist the director/manager and/or program/project data manager of the organization in identifying and dispositioning records through records custodians.

4.18 Records Plan. An itemized list (or inventory) of all official records maintained by a record custodian at any given organizational level providing a brief description of record content, arrangement, disposition instructions, and disposal authority (MSFC Form 2441). The compilation of all custodians' plans within an organization comprise the organization's Records Plan.

4.19 Record Series. A group of records that relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular form, or have some other relationship arising out of their creation, receipt, or use.

4.20 Unscheduled Records or Files. Records or files that are not identified in NPR 1441.1, NASA Records Retention Schedules, Chapters 1 through 10.

Organizational Work Instruction HS01		
Title : Office of Human Capital Records Management Plan	HS01-OWI-003	Revision:
	Date: September 28, 2006	Page 7 of 11

4.21 Rights and Interest Records. Records essential to the preservation of the legal rights and interests of individuals in cases where MSFC is the statutory office of record, or where NASA records are the indispensable and exclusive source from which individuals may secure or preserve their rights and interests. These records include such groups as personnel retirement records, payroll records, insurance records, valuable research records and ideas, and potentially patentable materials submitted to MSFC by citizens.

5. RESPONSIBILITY AND INSTRUCTIONS

5.1 Responsibility

5.1.2 Manager, Human Resources Services Office shall serve as the OHC Vital Records Manager and is responsible for maintaining and disposing of said records.

5.1.3 OHC Office Managers are responsible for implementing the MSFC Records Management Program within their respective organizations and for complying with the provisions of this procedure, to include:

Ensuring that all custodians develop and maintain a current Records Plan. These plans collectively constitute the organizational Records Plan.

Ensuring that all records, administrative or program records, documenting the organization's functions, policies, decisions, and essential transactions are identified (Records Plan), collected, appropriately maintained, and dispositioned in accordance with NASA policies and procedures.

Furnishing the Marshall Records Manager by memorandum or e-mail, as of October 15 each year, the name, job title, and organizational element to which assigned of the appointed RLO for the organization.

Notifying the Marshall Records Manager in writing of changes in RLO appointments as they occur.

Designating qualified personnel as vital records managers who are responsible for identifying and designating vital records within their respective areas of responsibility.

Identifying and submitting listing and location of any organizational vital records, through the OHC Vital Records Manager, to the Marshall Records Manager at least annually on October 15 and as changes occur.

Considering the potential historical significance of records and exercising particular attention to disposition of historical materials when program/project offices are discontinued.

Organizational Work Instruction HS01		
Title : Office of Human Capital Records Management Plan	HS01-OWI-003	Revision:
	Date: September 28, 2006	Page 8 of 11

5.1.4 Records Liaison Officers (RLOs) are responsible for:

Maintaining cognizance of all Record Custodians identified by the organization, including their assigned responsibilities.

Establishing, in coordination with the organization director/manager and/or data manager, a current Records Plan that reflects all records for which the organization is responsible and ensuring that the plan is maintained and revised by each recordskeeping office within the organization, geared to its needs, and compatible with this procedure.

Forwarding initial and/or revised Records Plan(s) to the Marshall Records Manager for concurrence.

Consolidating information for feeder reports on records management matters and forwarding the consolidated report to the Marshall Records Manager as required by NASA Headquarters or MSFC management.

Ensuring that organizational records are reviewed and dispositioned as scheduled and that only those records necessary for effective work accomplishment are being retained.

Providing liaison, assistance, and instruction in the records management activities of the organization to Records Custodians and managers as required.

5.1.5 Records Custodians (RCs) are responsible for maintaining and furnishing information from the records assigned to them. Specific responsibilities include:

Keeping current on the records management regulations and procedures and on the functions of record-keeping offices.

Maintaining an up-to-date Records Plan.

Properly identifying, arranging, and disposing of records in accordance with NPR 1441.1, MPR 1440.2, and the Organizational Work Instructions (OWIs). Retire the record to a Federal Records Center when/as required. (Records retired to a Federal Records Center are maintained in accordance with 44 U.S.C. Chapter 21, 36 CFR Chapter 12, and National Archives and Records Administration procedures.)

Reviewing assigned records at least annually to ensure that only necessary records are being retained.

Coordinating records problems with the Records Liaison Officer or the Marshall Records Manager.

Organizational Work Instruction HS01		
Title : Office of Human Capital Records Management Plan	HS01-OWI-003	Revision:
	Date: September 28, 2006	Page 9 of 11

Establishing and maintaining documented procedures/instructions for controlling records (may be included in the applicable procedural document) in conformance with identification of records in the organization's Records Plan. They shall include any applicable controls for collecting, indexing, assessing, filing, and storing (including contractor records), and for controlling damage, deterioration, and loss of records.

Identify in MSFC Marshall Management Directives and Organization Issuances (OI) the applicable records, retention schedules, disposition, and the organization(s) of record custodian (s) or link (identification) to where this information is available.

5.1.6 Office of Primary Responsibility (OPR) shall identify OHCs OIs applicable records, retention schedules, disposition, and the organization(s) of records custodian(s) or a link (identification) to where this information is available. The retention schedules shall not conflict with NPR 1441.1, NASA Records Retention Schedules.

5.1.7 The Originator is responsible for creating the records in accordance with Marshall Management Directives and OWIs. Note: The originator of a record may also be the Record Custodian.

5.1.8 OHC Records Liaison Officer shall ensure that appropriate records transferred to the MSFC Records Staging Area are dispositioned (retired/destroyed) in accordance with established NASA retention schedules.

5.2 Instructions

5.2.1 Each Organizational Work Instruction Office of primary responsibility identifies the records which are addressed in the OWIs.

5.2.2 Organizational Manager assigns Records Custodian.

5.2.3 Record Custodian prepares records plan. Sometimes the Record Custodian is the OPR. If the OWI is a consolidated work instruction within the organization, the Record Custodian may be the process owner for that particular function.

5.2.4 Record Custodian collects and maintains the records.

5.2.5 If the record is current and active, then it should be ready for the customer.

5.2.6 If the records are not current and it is within the record retention schedule for archive, then it should be stored as historical file for archive.

5.2.7 If the records are no longer needed they can be destroyed.

Organizational Work Instruction HS01		
Title : Office of Human Capital Records Management Plan	HS01-OWI-003	Revision:
	Date: September 28, 2006	Page 10 of 11

6. NOTES

All of OHC's OWIs shall be subject to review at least twice a year to ensure processes remain current and relevant. The review shall be conducted by a review team appointed by the Office manager, or as deemed appropriate by the Office manager. Minutes of these reviews are recorded and maintained as (Records) by the Document Control Custodian (DCC).

7. SAFETY PRECAUTIONS AND WARNING

None

8. APPENDICES, DATA, REPORTS

None

9. RECORDS

Records – The records pursuant to this OWI are the evidence of those OWI authorization, cancellation, or revision activities (such as evaluation, team meeting minutes, history log), and the document itself. The organizational manager appoints the record custodian who is responsible for maintaining the records.

Master List (s) – Maintained by the Office Document Control Custodian (DCC) and the electronic copy shall be updated by the web custodian. Current OWIs and Canceled OWIs – maintained by the responsible organizational element's DCC.

OHC Record POC List
MSFC Form 2441

1. PERSONNEL TRAINING AND CERTIFICATION

None

2. FLOW DIAGRAM

Record Process

See next page

Organizational Work Instruction HS01		
Title : Office of Human Capital Records Management Plan	HS01-OWI-003	Revision:
	Date: September 28, 2006	Page 11 of 11

5-35230

Organizational Work Instruction HS01		
Title : Office of Human Capital Records Management Plan	HS01-OWI-003	Revision:
	Date: September 28, 2006	Page 12 of 11

Quality Record Process

